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09/701,201	11/27/2000	George Friedman	1235-00	7397

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EXAMINER

JACKSON, JENISE E

ART UNIT PAPER NUMBER

2131

DATE MAILED: 02/15/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/701,201

Applicant(s)

FRIEDMAN ET AL.

Examiner

Jenise E Jackson

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5, 7, 8, 16-20, 22, 23, 31 and 32 is/are rejected.
- 7) ☒ Claim(s) 6, 9-15, 21 and 24-30 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_

**DETAILED ACTION**

***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claim 1-5, 7-8, 16-20, 22-23, 31-32 rejected under 35 U.S.C. 103(a) as being unpatentable over Cabrera(5,978,815) in view of Shaath et al.(6,654,864).

3. As per claims 1, 31-32, Cabrera et al. discloses a method for providing data security in a first device driver operable installed in a computer operating system having a layered plurality of device drivers for accessing data in a data storage device(see col. 3, lines 15-23, 52-56, col. 7, lines 33-43), detecting an I/O request to said first device driver(see col. 7, lines 33-42, col. 16, lines 12-53); determining whether said first device driver is functionally uppermost in the layered plurality of device drivers(see col. 16, lines 12-22); if said first device driver is functionally uppermost in the layered plurality of device drivers, performing the I/O request in said first device driver(see col. 7, lines 33-63). Cabrera does not disclose if said first device driver is not functionally uppermost in the layered plurality of device drivers, denying the I/O request in said first device driver, and allowing the I/O request to be performed by a next lower-level device driver in the layered plurality of device drivers. However, Shaath discloses if said first device driver is not functionally uppermost in the layered plurality of device drivers, denying the I/O request in said first device driver, and allowing the I/O request to be performed by a next lower-level device driver in the layered plurality of device drivers (see col. 6, lines 10-

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27). It would have been obvious to one of ordinary skill in the art at the time of the invention to include if said first device driver is not functionally uppermost in the layered plurality of device drivers, denying the I/O request in said first device driver, and allowing the I/O request to be performed by a next lower-level device driver in the layered plurality of device drivers of Shaath with Cabrera, the motivation is that an NT protected subsystem passes IO requests to the appropriate kernel mode driver through the IO system services(see col. 4, lines 33-36 of Shaath). The NT IO Manager's layered approach insulates NT drivers from having to know anything about whether an IO request originated in any particular subsystem(see col. 4, lines 43-49 of Shaath).

4. As per claim 2, Cabrera et al. discloses wherein said first device driver is a file system monitor(see col. 4, lines 21-65).

5. As per claim 3, Cabrera et al. discloses wherein the data is stored in a secure virtual File system, and wherein the step of performing the I/O request includes the step of implementing data security measures(see col. 20, lines 12-27).

6. As per claim 4, Cabrera et al. discloses wherein the data is stored in encrypted form, and wherein the step of performing the I/O request further comprises the step of decrypting the data(see col. 25, lines 30-51, col. 26, lines 7-25).

7. As per claim 5, Cabrera et al. discloses wherein the step of performing the I/O request further comprises the step of checking the data for viruses (see col. 9, lines 9-51).

8. As per claim 7, Cabrera discloses wherein the step of denying the I/O request in the secure first device driver comprises the steps of is setting a first device driver shutdown flag; and initiating a re-hook process(see col. 6, lines 53-67, col. 7, lines 1-4).

9. As per claim 8, Cabrera discloses after the step of detecting an I/O request to said first device driver, the checking whether a first device driver shutdown flag is set; and if said first device driver shutdown flag is set, omitting further steps in said first device driver, and allowing the I/O request to be performed by a next lower-level device driver in the layered plurality of device drivers(see col. 7, lines 5-42).

10. As per claim 16, it is rejected under the same basis as claim 1.

11. As per claim 17, it is rejected under the same basis as claim 2.

12. As per claim 18, it is rejected under the same basis as claim 3.

13. As per claim 19, it is rejected under the same basis as claim 4.

14. As per claim 20, it is rejected under the same basis as claim 5.

15. As per claim 22, Cabrera discloses a first device driver shutdown flag and a re-hook system, wherein said first device driver denies the I/O request by setting a first device driver shutdown flag and calling the re-hook system(see col. 6, lines 53-67, col. 7, lines 1-4) .

16. As per claim 23, it is rejected under the same basis as claim 8.

17. Claims 9-15, 24-30 are objected to as being rejected on base claims, these claims are allowable for wherein the step of initiating a re-hook process includes the steps of counting the number of times the re-hook process has been initiated checking whether the number of times has reached a predetermined maximum threshold; if the number of times has reached a predetermined maximum threshold, initiating a programmable security response; if the number of times has not reached a predetermined maximum threshold, initiating reattachment of said first device driver functionally uppermost in the layered plurality of device drivers; if said first device driver has been reattached functionally uppermost in the layered plurality of device

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drivers, unsetting said first device driver shutdown flag; and concluding the re-hook process. An example of prior art that does not disclose this is Jones, Jones discloses a plurality of driver layers, that when a host request is received, the first layer device driver executing on the controller determines if the request is atomic.

18. As per claims 6, and 21 are objected to as being rejected on base claims(see remarks below).

***Response to Amendment***

19. The Applicant states that Cabrera fails to disclose determining whether the first device driver is functionally uppermost in a layered plurality of device drivers. Furthermore, the Applicant states that Cabrera does not even teach a layered plurality of device drivers. The Examiner disagrees with both remarks. Cabrera discloses determining whether the first device driver is functionally uppermost in a layered plurality of device drivers, because Cabrera discloses a plurality of drivers have a layered relationship (see col. 3, lines 17-20). Further, when the client process call operating system services in order to perform an I/O request, the I/O request is passed to a first driver means for performing I/O processing(see col. 7, lines 33-37).

20. The Applicant states that Cabrera does not disclose denying an I/O request if the first device driver is not the uppermost in a layered plurality of device drivers. The Examiner arguments are persuasive in regards to this limitation. Thus, new art has been supplied for this limitation.

21. The Applicant states that Cabrera does not disclose determining whether the first device driver has been previously called, detecting an initial calling module address, storing the initial calling module address, detecting a second calling module address and comparing the second

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calling module address to the initial calling module address. The Applicants arguments are persuasive and therefore, claim 6 is objected to as being rejected on base claim. The reasons why claims 6 is objected to, is because prior art fails to disclose determining whether the first device driver has been previously called, detecting an initial calling module address, storing the initial calling module address, detecting a second calling module address and comparing the second calling module address to the initial calling module address, in the prior art of network, security and drivers, prior art fails to disclose the limitations above. An example of prior art that fails to disclose these limitations is, Cabrera discloses a layered plurality of device drivers, and the I/O request is first passed to the first driver and either passed down through the next driver in the list or processed within the first driver. This is in contrast, to claim limitations above.

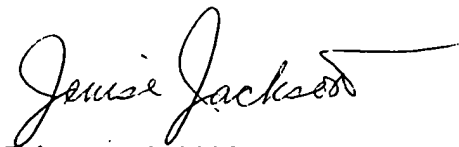
### *Conclusion*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jenise E Jackson whose telephone number is (571) 272-3791. The examiner can normally be reached on M-Th (6:00 a.m. - 3:30 p.m.) alternate Friday's.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



February 10, 2005



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